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10/560,907	12/16/2005	Toshinori Sugihara	LB-1035-616	2364

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EXAMINER

KIM, JAY C

ART UNIT	PAPER NUMBER
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2815

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PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No. 10/560,907	Applicant(s) SUGIHARA ET AL.	
	Examiner JAY C. KIM	Art Unit 2815	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 01 June 2010.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 4-34 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 4-34 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 16 December 2005 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☒ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|---|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

This Office Action is in response to RCE filed June 1, 2010.

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 4-7, 11, 15-20, 27 and 28 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kawasaki et al. (US 2003/0047785) in view of Goodman (US 4,204,217) and further in view of Yan et al. (US 2004/0061114) and further in view of Vijayakumar et al. (US 4,751,149) and still further in view of Wager et al. (US 2003/0218222).

Regarding claims 4 and 5, Kawasaki et al. disclose a semiconductor device (Fig. 1) comprising an active layer (5) (line 3 of [0037]), to which elements are added (lines 3-4 of [0038]), and which is made of a semiconductor containing ZnO or $Mg_xZn_{1-x}O$ (lines 1-3 of [0038]), and a blocking member (4a, 4b, 6, 7 and 9) (lines 3-5 of [0037], [0039], and line 6 of [0050]) for blocking the active layer (5) from an atmosphere such that the atmosphere substantially does not influence a region, in which a movable charge moves, of the active layer (5). Kawasaki et al. further disclose that the active layer (5) made of a semiconductor containing ZnO is formed in an oxygen atmosphere ([0064]).

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Kawasaki et al. differ from the claimed invention by not showing that nitrogen and hydrogen are added to the active layer, which is made of a semiconductor containing polycrystalline ZnO or $\text{Mg}_x\text{Zn}_{1-x}\text{O}$, amorphous ZnO or $\text{Mg}_x\text{Zn}_{1-x}\text{O}$, or either mixture of the polycrystalline ZnO and the amorphous ZnO or mixture of the polycrystalline $\text{Mg}_x\text{Zn}_{1-x}\text{O}$ and the amorphous $\text{Mg}_x\text{Zn}_{1-x}\text{O}$, wherein the active layer includes the nitrogen and hydrogen as intentionally added dopants having concentrations so that a threshold voltage of a gate voltage of the semiconductor device, when a voltage between a drain and a source region is fixed at 10V, is controlled to be substantially in a range between 0V and 3V (claim 4), wherein the active layer is formed under an atmosphere containing (i) one or more of nitrogen monoxide and nitrogen dioxide, and (ii) hydrogen peroxide (claim 5).

Goodman discloses a semiconductor device (Fig. 1) comprising an active layer (16) made of polycrystalline or amorphous ZnO (col. 2, lines 7-9).

Since both Kawasaki et al. and Goodman teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made that the active layer disclosed by Kawasaki et al. may comprise polycrystalline or amorphous ZnO, because a polycrystalline or amorphous semiconductor material is commonly used in manufacturing a thin film transistor to reduce processing steps, to reduce cost or to achieve a desired semiconductor device characteristics.

Further regarding claims 4 and 5, Kawasaki et al. in view of Goodman differ from the claimed invention by not showing that nitrogen and hydrogen are added to the active layer, wherein the active layer includes the nitrogen and hydrogen as intentionally

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added dopants having concentrations so that a threshold voltage of a gate voltage of the semiconductor device, when a voltage between a drain and a source region is fixed at 10V, is controlled to be substantially in a range between 0V and 3V (claim 4), wherein the active layer is formed under an atmosphere containing (i) one or more of nitrogen monoxide and nitrogen dioxide, and (ii) hydrogen peroxide (claim 5).

Yan et al. disclose that high quality p-type ZnO films can be achieved using either NO or NO₂ gas as a dopant (lines 1-2 of [0036]).

Since both Kawasaki et al. and Yan et al. teach a ZnO semiconductor film, it would have been obvious to one of ordinary skill in the art at the time the invention was made to dope the active layer disclosed by Kawasaki et al. in view of Goodman with the dopants disclosed by Yan et al., because a high quality ZnO active layer can be formed by using either NO or NO₂ gas as a dopant, and therefore nitrogen would be intentionally added to the active layer.

Further regarding claims 4 and 5, Kawasaki et al. in view of Goodman and further in view of Yan et al. differ from the claimed invention by not showing that hydrogen is added to the active layer, wherein the active layer includes the hydrogen as intentionally added dopants, the nitrogen and hydrogen having concentrations so that a threshold voltage of a gate voltage of the semiconductor device, when a voltage between a drain and a source region is fixed at 10V, is controlled to be substantially in a range between 0V and 3V (claim 4), wherein the active layer is formed under an atmosphere containing (ii) hydrogen peroxide (claim 5).

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Vijayakumar et al. disclose a method for manufacturing a ZnO thin film (Title), wherein oxygen and hydrogen peroxide can be used as suitable oxidants (col. 2, lines 38-39).

Since both Kawasaki et al. and Vijayakumar et al. teach a ZnO thin film, it would have been obvious to one of ordinary skill in the art at the time the invention was made that the ZnO active layer disclosed by Kawasaki et al. in view of Goodman and further in view of Yan et al. may be formed under an atmosphere containing hydrogen peroxide, because oxygen and hydrogen peroxide can be used interchangeably in forming a ZnO thin film to improve characteristics of the ZnO thin film. In this case, hydrogen would be an intentionally added dopant.

Further regarding claim 4, Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. differ from the claimed invention by not showing that the active layer includes the nitrogen and hydrogen having concentrations so that a threshold voltage of a gate voltage of the semiconductor device, when a voltage between a drain and a source region is fixed at 10V, is controlled to be substantially in a range between 0V and 3V.

Wager et al. disclose a semiconductor device (Fig. 1) comprising an active layer (5) made of ZnO (line 4 of [0059]) comprising nitrogen (lines 17-23 of [0038]), wherein a threshold voltage of a gate voltage of the semiconductor device, when a voltage between a drain and a source region is fixed at about 5 to about 40V, is controlled to be in a range between about 1 V and about 20 V (lines 1-7 of [0049]).

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Since both Kawasaki et al. and Wager et al. teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made that the nitrogen and hydrogen may have concentrations so that a threshold voltage of a gate voltage of the semiconductor device may be within the claimed range, because a threshold voltage of a field effect transistor is an important device parameter that should be optimized not to apply a high bias voltage to the field effect transistor, which would increase power consumption, and a threshold voltage of a field effect transistor can be optimized by controlling an impurity concentration, a channel layer thickness, a gate insulating layer thickness, *etc.* to improve performance of the field effect transistor. Further, claim 4 is *prima facie* obvious without showing that the claimed range of the threshold voltage achieves unexpected results relative to the prior art range. *In re Woodruff*, 16 USPQ2d 1935, 1937 (Fed. Cir. 1990). See also *In re Huang*, 40 USPQ2d 1685, 1688 (Fed. Cir. 1996) (claimed ranges of a result effective variable, which do not overlap the prior art ranges, are unpatentable unless they produce a new and unexpected result which is different in kind and not merely in degree from the results of the prior art). See also *In re Boesch*, 205 USPQ 215 (CCPA) (discovery of optimum value of result effective variable in known process is ordinarily within skill of art) and *In re Aller*, 105 USPQ 233 (CCPA 1955) (selection of optimum ranges within prior art general conditions is obvious).

Regarding claims 6 and 7, Kawasaki et al. further disclose that the blocking member (4a, 4b, 6, 7 and 9) is made up of different blocking layers (4a, 4b, 6, 7 and 9) (claim 6), wherein a blocking layer (4b) is made of SiO₂, Al₂O₃, MgO, Ta₂O₅, TiO₂, ZrO₂,

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CeO₂, K₂O, Li₂O, Na₂O, Rb₂O, In₂O₃, La₂O₃, Sc₂O₃, Y₂O₃, or a solid solution containing at least two of them (lines 5-9 of [0041]) (claim 7).

Regarding claim 11, Kawasaki et al. further comprise a gate electrode (3) (line 4 of [0037]) for controlling move of a movable electric charge in the active layer (5), a gate insulating layer (4), which serves as a block layer, for insulating the active layer (5) from the gate electrode (3), a source electrode (6) connected to the active layer (5), and a drain electrode (7) connected to the active layer (5), wherein a blocking layer (4b) is made of SiO₂, Al₂O₃, MgO, Ta₂O₅, TiO₂, ZrO₂, CeO₂, K₂O, Li₂O, Na₂O, Rb₂O, In₂O₃, La₂O₃, Sc₂O₃, Y₂O₃, or a solid solution containing at least two of them (lines 5-9 of [0041]).

Regarding claims 15-20, 27 and 28, Kawasaki et al. disclose an electronic device (Figs. 8 and 9) comprising, as a switching element (T in Fig. 9), a thin film transistor (Fig. 1) ([0093] and lines 1-3 of [0096]) (claims 15, 17, 19 and 27), wherein the switching element (T) is connected to a picture element electrode (8 in Fig. 1) (line 8 of [0037]) such that an image signal is written in or read out from the picture element electrode (8) (claims 16, 18, 20 and 28).

3. Claims 8, 12, 21, 22, 29 and 30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kawasaki et al. (US 2003/0047785) in view of Goodman (US 4,204,217) and further in view of Yan et al. (US 2004/0061114) and further in view of Vijayakumar et al. (US 4,751,149) and still further in view of Wager et al. (US 2003/0218222), and then further in view of Ogawa (US 2002/0056838). The teachings

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of Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. are discussed above.

Regarding claim 8, Kawasaki et al. further disclose for the semiconductor device as set forth in claim 7 that a blocking layer (9) ([0050]) constituting the blocking layers (4a, 4b, 6, 7 and 9) is made of silicon nitride, and the blocking layer (9) is so provided as to meet the active layer (5) separately from (i) each of two electrodes (6 and 7) serving as blocking layers and connected to the active layer (5), and (ii) an insulating layer (4), which serves as a blocking layer and meets the active layer (5), for insulating the active layer (5) from a control electrode (3) for controlling move of a movable electric charge in the active layer (5).

Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. differ from the claimed invention by not showing that the blocking layer is made of SiO_2 , Al_2O_3 , MgO , Ta_2O_5 , TiO_2 , ZrO_2 , CeO_2 , K_2O , Li_2O , Na_2O , Rb_2O , In_2O_3 , La_2O_3 , Sc_2O_3 , Y_2O_3 , ..., or a solid solution containing at least two of them.

Ogawa discloses a semiconductor device (Fig. 9) comprising a blocking layer (13) (line 2 of [0181]) for a ZnO semiconductor layer (23) (lines 5-6 of [0177]), wherein the blocking layer (13) can be made of silicon nitride or silicon oxide (lines 8-11 of [0077]), which can be SiO_2 .

Since both Kawasaki et al. and Ogawa teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made to replace the silicon nitride blocking layer disclosed by Kawasaki et al. in view of

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Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. with the SiO₂ blocking layer disclosed by Ogawa, because SiO₂ is commonly used as an alternative to silicon nitride in manufacturing a semiconductor device to achieve a desired passivation characteristic.

Regarding claim 12, Kawasaki et al. further disclose for the semiconductor device as set forth in claim 11 that a blocking layer (9) ([0050]) constituting the blocking layers (4a, 4b, 6, 7 and 9) is made of silicon nitride, and the blocking layer (9) is so provided as to meet the active layer (5) separately from the source electrode (6), the drain electrode (7), and the gate insulating layer (4), each of which serves as a blocking layer.

Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. differ from the claimed invention by not showing that the blocking layer is made of SiO₂, Al₂O₃, MgO, Ta₂O₅, TiO₂, ZrO₂, CeO₂, K₂O, Li₂O, Na₂O, Rb₂O, In₂O₃, La₂O₃, Sc₂O₃, Y₂O₃, ..., or a solid solution containing at least two of them.

Ogawa discloses a semiconductor device (Fig. 9) comprising a blocking layer (13) (line 2 of [0181]) for a ZnO semiconductor layer (23) (lines 5-6 of [0177]), wherein the blocking layer (13) can be made of silicon nitride or silicon oxide (lines 8-11 of [0077]), which can be SiO₂.

Since both Kawasaki et al. and Ogawa teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made to replace the silicon nitride blocking layer disclosed by Kawasaki et al. in view of

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Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. with the SiO₂ blocking layer disclosed by Ogawa, because SiO₂ is commonly used as an alternative to silicon nitride in manufacturing a semiconductor device to achieve a desired passivation characteristic.

Regarding claims 21, 22, 29 and 30, Kawasaki et al. disclose an electronic device (Figs. 8 and 9) comprising, as a switching element (T in Fig. 9), a thin film transistor (Fig. 1) ([0093] and lines 1-3 of [0096]) (claims 21 and 29), wherein the switching element (T) is connected to a picture element electrode (8 in Fig. 1) (line 8 of [0037]) such that an image signal is written in or read out from the picture element electrode (8) (claims 22 and 30).

4. Claims 9, 10, 13, 14, 23-26 and 31-34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Kawasaki et al. (US 2003/0047785) in view of Goodman (US 4,204,217) and further in view of Yan et al. (US 2004/0061114) and further in view of Vijayakumar et al. (US 4,751,149) and still further in view of Wager et al. (US 2003/0218222), and then further in view of Kaneko et al. (US 5,166,816). The teachings of Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. are discussed above.

Regarding claims 9 and 10, Kawasaki et al. further disclose for the semiconductor device as set forth in claim 6 that a blocking layer (9) ([0050]) is made of silicon nitride, and the blocking layer (9) is so provided as to meet the active layer (5) separately from (i) each of two electrodes (6 and 7) serving as blocking layers and

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connected to the active layer (5), and (ii) an insulating layer (4), which serves as a blocking layer and meets the active layer (5), for insulating the active layer (5) from a control electrode (3) for controlling move of a movable electric charge in the active layer (5).

Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. differ from the claimed invention by not showing that the blocking layer is made of resin.

Kaneko et al. disclose a semiconductor device (Fig. 6), wherein a blocking layer (61) is made of resin (col. 4, line 57), and the blocking layer (61) is so provided as to meet the active layer (54) (col. 4, lines 21-22) separately from each of two electrodes (56 and 57) (col. 4, lines 15-16) serving as blocking layers and connected to the active layer (54), and an insulating layer (53) (col. 4, line 21), which serves as a blocking layer and meets the active layer (54), for insulating the active layer (54) from a control electrode (52) (col. 4, lines 20-21) for controlling move of a movable electric charge in the active layer (54).

Since both Kawasaki et al. and Kaneko et al. teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made to replace the blocking layer disclosed by Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. with the polyimide resin disclosed by Kaneko et al., because a polyimide resin is a well-known material for forming an interlayer insulating film in manufacturing a thin film transistor to achieve a desired passivation characteristic.

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Regarding claims 13 and 14, Kawasaki et al. further comprise for the semiconductor device as set forth in claim 6 a gate electrode (3) (line 4 of [0037]) for controlling move of a movable electric charge in the active layer (5), a gate insulating layer (4), which serves as a block layer, for insulating the active layer (5) from the gate electrode (3), a source electrode (6) connected to the active layer (5), a drain electrode (7) connected to the active layer (5), wherein a blocking layer (9) is made of silicon nitride ([0050]), and the blocking layer (9) is so provided as to meet the active layer (5) separately from the source electrode (6), the drain electrode (7), and the gate insulating layer (4), each of which serves as a blocking layer.

Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. differ from the claimed invention by not showing that the blocking layer is made of a resin.

Kaneko et al. disclose a semiconductor device (Fig. 6) comprising a gate electrode (52) (col. 4, lines 20-21) for controlling move of a movable electric charge in the active layer (54) (col. 4, lines 21-22), a gate insulating layer (53) (col. 4, line 21), which serves as a block layer, for insulating the active layer (54) from the gate electrode (52), a source electrode (57) (col. 4, lines 15-16) connected to the active layer (54), a drain electrode (56) (col. 4, line 16) connected to the active layer (54), wherein a blocking layer (61) is made of a resin (col. 4, line 57), and the blocking layer (61) is so provided as to meet the active layer (54) separately from the source electrode (57), the drain electrode (56), and the gate insulating layer (53), each of which serves as a blocking layer.

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Since both Kawasaki et al. and Kaneko et al. teach a semiconductor device, it would have been obvious to one of ordinary skill in the art at the time the invention was made to replace the silicon nitride blocking layer disclosed by Kawasaki et al. in view of Goodman and further in view of Yan et al. and further in view of Vijayakumar et al. and still further in view of Wager et al. with the polyimide resin disclosed by Kaneko et al., because a polyimide resin is a well-known material for forming an interlayer insulating film in manufacturing a thin film transistor to achieve a desired passivation characteristic.

Regarding claims 23-26 and 31-34, Kawasaki et al. disclose an electronic device (Figs. 8 and 9) comprising, as a switching element (T in Fig. 9), a thin film transistor (Fig. 1) ([0093] and lines 1-3 of [0096]) (claims 23, 25, 31 and 33), wherein the switching element (T) is connected to a picture element electrode (8 in Fig. 1) (line 8 of [0037]) such that an image signal is written in or read out from the picture element electrode (8) (claims 24, 26, 32 and 34).

Response to Arguments

5. Applicants' arguments with respect to claim 4 have been considered but are moot in view of the new ground of rejection.

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to JAY C. KIM whose telephone number is (571) 270-1620. The examiner can normally be reached on 7:30 AM - 5:00 PM EST.

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Kenneth Parker can be reached on (571) 272-2298. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/J. K./
Examiner, Art Unit 2815
August 13, 2010

/Jay C Kim/
Examiner, Art Unit 2815